

PTO/SB/08b(08-03)

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT
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Sheet 2 of 2

Complete if Known

Application Number	101,627,626
Filing Date	2003-07-28
First Named Inventor	Steven M. H. WALLMAN
Art Unit	3964
Examiner Name	Daniel Lawson Greene
Attorney Docket Number	10392/460043

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	7	95 th CONGRESS, 1 st SESSION COMMITTEE PRINT, Report on Banks Securities Activities of the Securities and Exchange Commission Pursuant to Section 11A(e) of the Securities and Exchange Act of 1934 (public Law 94-29), August 1977, pp. 3-101, US Government Printing Office, Washington, D.C.	
	8	COLBY, ROBERT L. D., Response to March 14, 1988 letter regarding "Exchange Act" from SPIRER, KENNETH S., April 14, 1988, pp. 1-12, Securities and Exchange Commission, Office of Chief Counsel, Division of Market Regulation, Washington, D.C.	
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	10	ELGIN, PEGGIE R., SPDR web ensnares both active, passive fund managers. (Standard & Poor's 500 Depository Receipts) (Investments & Benefits), Corporate Cashflow Magazine, December 1, 1993.	
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	13	ROSENBLAT ALAN, Response to October 19, 1971 letter regarding The "Plan" from REAVIS MCGRATH, April 19, 1972, pp. 1-5, Securities and Exchange Commission, Office of Chief Counsel, Division of Corporate Regulation, Washington, D.C.	
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	15	ROSENBLAT, ALAN, Response to December 5, 1974 Request for No-Action letter from BARON, NEIL D., November 23, 1975, pp. 1-14, Securities and Exchange Commission, Office of Chief Counsel, Division of Investment Management Regulation, Washington, D.C.	
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	17	ROSENBLAT, ALAN, Response to October 19, 1971 Letter to SEC from REAVIS & MCGRATH, May 21, 1972, pp. 1-3, Securities and Exchange Commission, Office of Chief Counsel, Division of Investment Management Regulation, Washington, D.C., 1972 Westlaw 12253.	
	18	SHARPE, WILLIAM F., The Sharpe Ratio, The Journal of Portfolio Management, Fall 1994, New York, N.Y.	

Examiner Signature	/Daniel Greene/	Date Considered	07/06/2008
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*EXAMINER: initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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